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UTILITY PATENT APPLICATION **TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

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Attorney Docket No.	FQ-03
First Inventor	Robert A Ellis
Title	SYSTEM AND METHOD FOR MANAGING INVESTMENT INFORMATION
Everess Mail Label No.	ER 085627867 US

See MPEP o	APPLICATION ELEMENTS chapter 600 concerning utility patent application contents.	ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450					
Submit See 37 Specific (preferr - Descr - Cross - Stater - Referr or a c - Backg - Brief 1 - Detail - Claim	red arrangement set forth below) riptive title of the invention s Reference to Related Applications ment Regarding Fed sponsored R & D ence to sequence listing, a table, computer program listing appendix ground of the Invention Summary of the Invention Description of the Drawings (if filed) led Description	7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. Computer Readable Form (CRF) b. Specification Sequence Listing on: i. CD-ROM or CD-R (2 copies); or ii. Paper c. Statements verifying identity of above copies ACCOMPANYING APPLICATION PARTS					
4. Drawing(s) (35 U.S.C. 113) [Total Sheets9] 5. Oath or Declaration		9. Assignment Papers (cover sheet & document(s)) 10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney 11. English Translation Document (if applicable) 12. Information Disclosure Copies of IDS Statement (IDS)/PTO-1449 Citations 13. Preliminary Amendment 14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. Certified Copy of Priority Document(s) (if foreign priority is claimed) Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. Certificate of Express Mailing					
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76: Continuation Continuation Divisional Continuation-in-part (CIP) of prior application No.:							
Prior application information: Examiner For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.							
	19. CORRESPO	NDENCE ADDRESS					
Custon	ner Number:	OR Correspondence address below					
Name	William J. Kolegraff						
Address	3119 Turnberry Way						
City	Jamul	State CA Zip Code 91935					
Country	us) /	Telephone 619 / 401 -8008 Fax 619/ 401-8080					
Name (Print/Type) William J. Kylegraff Registration No. (Attorney/Agent) 41,125							
Signature Date Det 1.2003							

This collection of information of equired (37 CFR 1.53(b)). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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	Complete if Known					
FEE TRANSMITTAL	Application Number					
for FY 2004	Filing Date					
ffective 10/01/2003. Patent fees are subject to annual revision.	First Named Inventor	Robert A Ellis				
nective 1010 112003. Faterit lees are subject to arinual revision.	Examiner Name					
nlicant claims small entity status. See 37 CFR 1 27						

TOTAL AMOUNT OF PAYMENT (\$) 425.00			Attorn	ey Do	cket N	lo. FQ-03				
METHOD OF PAYMENT (check all that apply)			FEE CALCULATION (continued)							
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1. BASIC FILING FEE Large Entity Small Entity			1253	950	2253	475	Extension for re	eply within third month		
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	•	(\$) 385.00	1452	110	2452		Petition to reviv	· · · · · · · · · · · · · · · · · · ·		
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2. EXTRA CLAIM FEES I	OR UTILIT	Y AND REISSUE	1501	1,330	2501		Utility issue fee			
	kt <u>ra Claim</u> s	below Fee Paid	1502	480	2502	240	Design issue fe	e		
Total Claims 19 -20** =	ॱ╞══╡ [╳] ╞		1503	640	2503	320	Plant issue fee			
Claims 2 - 3** =		1460	130	1460	130	Petitions to the	Commissioner			
Multiple Dependent	L] चै	1807	50	1807	7 50	Processing fee	under 37 CFR 1.17(q)		
Large Entity Small Entity Fee Fee Fee	Fee Descrip	tion	1806	180	1806			nformation Disclosure Stmt		
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1202 18 2202 9	Claims in exce		1809	770	2809	385		sion after final rejection		
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**or number previously paid, if greater; For Reissues, see above			*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 40.00					0		
SUBMITTED BY (Complete (if applicable))										
Name (Print/Type) \\\/illiar	n / Kaloara	4/	7	Registra	tion No	. 11	125	Telephone 619-401-8008		

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(Attorney/Agent)

Name (Print/Type)

Signature

William J

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

For a patent application entitled

SYSTEM AND METHOD FOR MANAGING INVESTMENT INFORMATION

ER 085627867US "Express Mail" Label number

Dec. 1, 2003
Date of Deposit

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Correspondence in deposit:

- 40 pages of Application, including
 - 26 pgs. of Specification
 - 1 pg. of Abstract
 - 4 pgs. of Claims (Claims 1-19)
 - 9 pgs. of Drawings (Figs.1-11)
- Utility Patent Transmittal (1 pg.)
- Signed Declaration (2 pgs.)
- Fee Transmittal and Duplicate (2 pgs)
- Credit Card Payment Form (1 pg.)
- Assignment and cover sheet (3 pgs.)
- Certificate of Express Mailing (1 pg.)
- -Return pre-paid postcard

Signature of person mailing correspondence

William J. Kolegraff

Typed or printed name of person mailing correspondence